

IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Randy Haagens et al.

Confirmation No.:

Application No.: Unassigned

Examiner: Unassigned

Filing Date: Herewith

Group Art Unit:

Title: Method and Apparatus for Handling Flow Control for a Data Transfer

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or  
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:  
☐ Statement under 37 CFR 1.97(e), or  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97 (d) together with a:  
☐ Statement under 37 CFR 1.97(e)(1) or (2), and  
☐ a \$180.00 fee set forth in 37 CFR 1.17(p).  
(Filed after final action, a notice of allowance, on or before payment of the issue fee)

Please charge to Deposit Account **08-2025** the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account **08-2025** pursuant to 37 CFR 1.25.

☒ Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Statement together with any required copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individual(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

"Express Mail" label no. **EL990791707US**

Date of Deposit **12/16/2003**

I hereby certify that this is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, Alexandria, VA 22313-1450.

By

Typed Name: **Helen Tinsley**

Respectfully submitted,

**Randy Haagens et al.**

By

**Tait R. Swanson**

Attorney/Agent for Applicant(s)

Reg. No. **48,226**

Date: **12/16/2003**

<b>FORM PTO-1449</b>  <b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)	ATTY. DOCKET NO. <b>200313142-1</b>	APPLICATION NO.	CONFIRMATION NO.
	APPLICANT <b>Randy Haagens, et al.</b>		
	FILING DATE <b>Unassigned</b>	GROUP	

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	1A	6,502,203 B2	10/17/2002	Barron et al.	
	1B	6,496,940 B1	12/17/2002	Horst et al.	
	1C	6,493,343 B1	12/10/2002	Garcia et al.	
	1D	6,484,208 B1	11/19/2002	Hilland	
	1E	6,289,023	9/11/2001	Dowling et al.	
	1F	6,233,702 B1	05/15/2001	Horst et al.	
	1G	6,163,834	12/19/2000	Garcia et al.	
	1H	6,157,967	12/05/2000	Horst et al.	
	1I	6,070,253	05/30/2000	Tavallaei et al.	
	1J	6,070,198	05/30/2000	Krause et al.	
	1K	6,047,323	4/4/2000	Krause	

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	1L					
	1M					
	1N					
	1O					
	1P					

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

1Q	U.S. Patent Application Serial No. 10/400,313, filed 3-27-2003, entitled Protection Domain Groups, Inventor: Jeffrey R. Hilland et al.
1R	U.S. Patent Application Serial No. 10/401,234, filed 3-27-2003, entitled Queue Pair/Window Association, Inventor: David J. Garcia et al.
1S	U.S. Patent Application Serial No. 10/401,232, filed 3-27-2003, entitled Physical Mode Addressing, Inventor: Kathryn Hampton et al.

EXAMINER

DATE CONSIDERED

**PATENT APPLICATION**

Sheet 2 of 4

<b>FORM PTO-1449</b>  <b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)	ATTY. DOCKET NO. <b>200313142-1</b>	APPLICATION NO.	CONFIRMATION NO.
APPLICANT <b>Randy Haagens, et al.</b>			
FILING DATE <b>Unassigned</b>		GROUP	

**REFERENCE DESIGNATION                      U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear.
	2A	6,038,621	3/14/2000	Gale et al.	
	2B	6,018,620	01/25/2000	Culley et al.	
	2C	5,983,269	11/09/1999	Mattson et al.	
	2D	5,964,835	10/12/1999	Fowler et al.	
	2E	5,948,111	09/07/1999	Taylor et al.	
	2F	5,914,953	06/22/1999	Krause et al.	
	2G	5,872,941	02/16/1999	Goodrum et al.	
	2H	5,870,568	02/09/1999	Culley et al.	
	2I	5,822,571	10/13/1998	Goodrum et al.	
	2J	5,815,707	09/29/1998	Krause et al.	
	2K	5,809,285	09/15/1998	Hilland	

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	2L					
	2M					
	2N					
	2O					
	2P					

**OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)**

	2Q	U. S. Patent Application Serial No. 10/401,230, filed 3-27-2003, entitled Physical Mode Windows, Inventor: David J. Garcia et al.
	2R	U.S. Patent Application Serial No. 10/401,237, filed 3-27-2003, entitled Method and Apparatus for Performing Connection Management with Multiple Stacks, Inventor: Prashant Modi et al.
	2S	U.S. Patent Application Serial No. 10/401,233, filed 3-27-2003, entitled Atomic Operations, Inventor: Dwight L. Barron et al.

EXAMINER	DATE CONSIDERED
----------	-----------------

**PATENT APPLICATION**

Sheet 3 of 5

<b>FORM PTO-1449</b>  <b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)	ATTY. DOCKET NO. <b>200313142-1</b>	APPLICATION NO.	CONFIRMATION NO.
APPLICANT <b>Randy Haagens, et al.</b>			
FILING DATE <input type="checkbox"/>		GROUP	

**REFERENCE DESIGNATION                      U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	3A	5,751,932	05/12/1998	Horst et al.	
	3B	5,737,604	04/07/1998	Miller et al.	
	3C	5,675,807	10/07/1997	Iswandhi et al.	
	3D	5,325,532	06/28/1994	Crosswy et al.	
	3E	5,978,858	11/02/1999	Bonola et al.	
	3F				
	3G				
	3H				
	3I				
	3J				
	3K				

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	3L					
	3M					
	3N					
	3O					
	3P					

**OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)**

	3Q	U.S. Patent Application Serial No. 10/401,236, filed 3-27-2003, entitled Signal Packet, Inventor: Dwight L. Barron
	3R	U.S. Patent Application Serial No. 10/401,231, filed 3-27-2003, entitled Shared Receive Queues, Inventor: Mallikarjun Chadalapaka et al.
	3S	U.S. Patent Application Serial No. 10/401,235, filed 3-27-2003, entitled Binding A Memory Window to A Queue Pair, Inventor: David J. Garcia et al.

EXAMINER	DATE CONSIDERED
----------	-----------------

**PATENT APPLICATION**

Sheet 4 of 5

<b>FORM PTO-1449</b>  <b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)	ATTY. DOCKET NO. <b>200313142-1</b>	APPLICATION NO.	CONFIRMATION NO.
APPLICANT <b>Randy Haagens, et al.</b>			
FILING DATE <b>Unassigned</b>		GROUP	

**REFERENCE DESIGNATION                      U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	4A				
	4B				
	4C				
	4D				
	4E				
	4F				
	4G				
	4H				
	4I				
	4J				
	4K				

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	4L					
	4M					
	4N					
	4O					
	4P					

**OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)**

	4Q	U.S. Patent Application Serial No. 10/641,127, filed 08-14-2003, entitled Method And Apparatus For Accessing A Memory, Inventor: Mallikarjan Chadalapaka
	4R	U.S. Patent Application Serial No. 10/641,129, filed 08-14-2003, entitled Method And Apparatus For Implementing Work Request Lists, Inventors: Jeffrey R. Hilland et a l.
	4S	Jeffrey R. Hilland et al., "RDMA Protocol Verbs Specification (Version 1.0)" (April 2003).

EXAMINER	DATE CONSIDERED
----------	-----------------

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

200313142-1

APPLICATION NO.

CONFIRMATION NO.

APPLICANT

Randy Haagens, et al.

FILING DATE

Unassigned

GROUP

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	5A				
	5B				
	5C				
	5D				
	5E				
	5F				
	5G				
	5H				
	5I				
	5J				
	5K				

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	5L					
	5M					
	5N					
	5O					
	5P					

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

5Q	U.S. Patent Application Serial No. 10/666,174, filed 09-18-2003, entitled Method And Apparatus For Acknowledging a Request for Data Transfer, Inventor: Mallikarjan Chadalapaka
5R	U.S. Patent Application Serial No. 10/664,707, filed 09-18-2003, entitled Method And Apparatus For Providing Notification, Inventor: Michael R. Krause, et al.
5S	

EXAMINER

DATE CONSIDERED